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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 536-009.27
INTERNATIONAL APPLICATION NO. PCT/EP2004/013954		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/580,669
INTERNATIONAL FILING DATE 03 December 2004		PRIORITY DATE CLAIMED 05 December 2003
TITLE OF INVENTION Bipolar transistor with raised base connection region and process for the production thereof		
APPLICANT(S) FOR DO/EO/US Holger Rücker and Bernd Heinemann		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 		
Items 11 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input checked="" type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 		

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/580,669		INTERNATIONAL APPLICATION NO. PCT/EP2004/013954		ATTORNEY'S DOCKET NUMBER 536-009.27	
20. Other items or information:					
The following fees have been submitted				CALCULATIONS	PTO USE ONLY
21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300				\$	
22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))				\$	
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0					
All other situations..... \$200					
23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))				\$	
If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100					
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400					
All other situations..... \$500					
TOTAL OF 21, 22 and 23 =					
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) in an electronic medium or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		x \$250	\$	
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$ 130	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	- 20 =		x \$ 50	\$	
Independent claims	- 3 =		x \$200	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$ 130	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 40	
TOTAL FEES ENCLOSED =				\$ 300.00	
				Amount to be refunded:	\$
				Amount to be charged	\$ 300.00

03/22/2007 MKAYPAGH 00000035 10580669

01 FC:1617	130.00 OP
02 FC:1618	130.00 OP

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☒ A check in the amount of \$ 300.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-0442. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038. The PTO-2038 should only be mailed or faxed to the USPTO. However, when paying the basic national fee, the PTO-2038 may NOT be faxed to the USPTO.

ADVISORY: If filing by EFS-Web, do **NOT** attach the PTO-2038 form as a PDF along with your EFS-Web submission. Please be advised that this is **not** recommended and by doing so your **credit card information may be displayed via PAIR**. To protect your information, it is recommended paying fees online by using the electronic payment method.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Ware, Fressola, Van Der Sluys & Adolphson
Bradford Green, Bldg. Five
755 Main St.
P.O. Box 224
Monroe, CT 06468


SIGNATURE

James A. Retter

NAME

41,266

REGISTRATION NUMBER



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/580,669	Hulger Rucker	53600927
INTERNATIONAL APPLICATION NO.		
PCT/EP04/13954		
I.A. FILING DATE	PRIORITY DATE	
12/03/2004		

4955
 WARE FRESSOLA VAN DER SLUYS &
 ADOLPHSON, LLP
 BRADFORD GREEN, BUILDING 5
 755 MAIN STREET, P O BOX 224
 MONROE, CT 06468

CONFIRMATION NO. 5326

371 FORMALITIES LETTER



OC000000021998650

Date Mailed: 01/17/2007

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 05/26/2006
- Copy of the International Search Report filed on 05/26/2006
- Information Disclosure Statements filed on 05/26/2006
- U.S. Basic National Fees filed on 05/26/2006
- Priority Documents filed on 05/26/2006

RECEIVED
 WARE, FRESSOLA, VAN DER SLUYS
 & ADOLPHSON
 JAN 22 2007
 FILE 536-009-27
 ANS'D. JAK
 DOCKETED

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. Note a processing fee will be required if submitted later than 30 months from the priority date. ✓
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. ✓

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.

<https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

INDIA L EVANS

Telephone: (703) 308-9140 EXT 212

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/580,669	PCT/EP04/13954	53600927

FORM PCT/DO/EO/905 (371 Formalities Notice)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Holger Rucker et al.**Application No.: **10/580,669**

Group No.: To be assigned

Filed: **May 26, 2006**

Examiner: To be assigned

For: **Bipolar transistor with raised base connection region and process....**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

STATEMENT THAT SUBSTITUTE SPECIFICATION
CONTAINS NO NEW MATTER (37 C.F.R. § 1.125)

1. Identification of person making this statement

James A. Retter

(type or print name)

Ware, Fressola, Van Der Sluys & Adolphson LLP
Bradford Green, Building 5

Address

755 Main St., PO Box 224
Monroe, CT 06468-0224

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☐ deposited with the United States Postal Service in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10 *

☒ with sufficient postage as first class mail.☒ as "Express Mail Post Office to Addressee"Mailing Label No. EV 914 765 975 US (mandatory)

TRANSMISSION

☐ facsimile transmitted to the Patent and Trademark Office, (571) 273-8300.Date: March 19, 2007Sue Muro
SignatureSue Muro

(type or print name of person certifying)

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

The person making this statement is:

(complete applicable item)

- ☐ the inventor in this application.
- ☒ the attorney in this application, Registration Number 41,266.
- ☐ other *(indicate relationship)*

2. Statement

I hereby state that the accompanying substitute specification contains no new matter over that contained in the above-identified application originally filed.

(complete the following, if applicable)

- ☐ I further state that the changes made are the same as indicated in the interlineated substitute specification also accompanying this statement.



Signature of person making statement

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Holger Rucker et al.**Application No.: **10/580,669**

Group No.: To be assigned

Filed: **May 26, 2006**

Examiner: To be assigned

For: **Bipolar transistor with raised base connection region and process ...**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

TRANSMITTAL OF SUBSTITUTE SPECIFICATION (37 C.F.R. § 1.125)

NOTE: A substitute specification, excluding the claims, may be filed at any point up to payment of the issue fee if it is accompanied by items indicated below. See 37 C.F.R. § 1.125(b).

1. Enclosed is a substitute specification for the originally filed specification in this application.

NOTE: The substitute specification must be submitted in clean form without markings as to amended material. The paragraphs of any substitute specification, other than the claims, should be individually numbered in Arabic numerals so that any amendment to the specification may be made by replacement paragraph in accordance with § 1.121(b)(1). 37 C.F.R. § 1.125(c).

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

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37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10*

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"

Mailing Label No. **EV 914 765 975 US** (mandatory)

TRANSMISSION

☐ facsimile transmitted to the Patent and Trademark Office, (571) 273-8300.

Date: **March 19, 2007**

Signature

Sue Muro

(type or print name of person certifying)

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

(Transmittal of Substitute Specification [9-27]—page 1 of 2)

2.

(complete the following applicable item)

- ☐ This substitute specification is submitted, in response to a requirement by the Examiner.

OR

- ☒ This substitute specification is being voluntarily submitted, in order to facilitate the processing of the application.

3. Also enclosed is a marked-up copy of the substitute specification showing the matter being added to and the matter being deleted from the specification.

4. Accompanying this transmittal is a statement, as required by 37 C.F.R. § 1.125(b)(1), that the substitute specification transmitted herewith contains no new matter.

Reg. No.: 41,266

Tel. No.: (203) 261-1234

Customer No.: 004955



SIGNATURE OF PRACTITIONER

James A. Retter

(type or print name of practitioner)

Ware, Fressola, Van Der Sluys & Adolphs
Bradford Green, Building 5

P.O. Address

755 Main St., PO Box 224
Monroe, CT 06468-0224

Practitioner's Docket No. 536-009.27

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Holger Rucker et al.**

Application No.: **10/580,669**

Group No.: **TBA**

Filed: **May 26, 2006**

Examiner: **TBA**

For: **Bipolar transistor with raised base connection region and process ...**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

NOTE: The Office has authorized the payment of any required publication fee by authorization to charge a deposit account or credit card, and drawings: 703-746-4000 facsimile number. The Office notes that although the submission of drawings by facsimile may reduce the quality of drawings, the Office will generally print the drawings as received. See "New Patents Central FAX Number and Updated Lists of Exceptions to the Centralized Delivery and Facsimile Transmission Policy for Patent Related Correspondence," 1296 OG 76, July 12, 2005.


**TRANSMITTAL OF FORMAL DRAWING(S)
PRIOR TO NOTICE OF ALLOWANCE**

Attached please find the formal drawings for this application.

Reg. No. **41,266**

Tel. No.: **(203) 261-1234**

Customer No.: **004955**



SIGNATURE OF PRACTITIONER

James A. Retter

(type or print name of practitioner)

P.O. Box 224

P.O. Address

Monroe, CT 06468

NOTE: "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450
Alexandria, VA 22313-1450

Sue Muro

(type or print name of person mailing paper)

Date: **March 19, 2007**



Signature of person mailing paper

WARNING: "Facsimile transmissions are not permitted and if submitted will not be accorded a date of receipt" for "(4) Drawings submitted under §§ 1.81, 1.83 through 1.85, 1.152, 1.165, 1.174, 1.437" 37 C.F.R. § 1.6(d)(4).

the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawings a minimum distance of 1.5 cm. (5/16 inch) down from the top of the page. In addition, a reference to the application number, or, if an application number has not been assigned, the inventor's name, may be included in the left-hand corner, provided that the reference appears within 1.5 cm (5/16 inch) from the top of the sheet." 37 C.F.R. § 1.84(c)).